



# Louisville Metro Government

## External Agency Fund Application

April 2011

Application deadline April 22, 2011



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## WHO CAN APPLY

**NON-PROFIT CORPORATIONS.** EAF applicants must be incorporated as nonprofit corporations and qualified to do business in the Commonwealth of Kentucky.

**Note:** Only one application per 501C3 (legal name as registered with the Secretary of State) will be reviewed.

### ❖ **501(c)(3) CORPORATIONS.**

- An EAF applicant, with annual revenues greater than \$25,000 must have or have applied for 501(c)3 tax-exempt status with the Internal Revenue Service. A copy of the current IRS 501(c)3 tax-exempt status determination letter, advanced determination letter or letter of affirmation is required as an attachment to the EAF application.
- If the EAF applicant has annual revenues that are less than \$25,000, the EAF applicant will be required to attach the applicant's most recent financial statement, signed by the appropriate corporate officer, to its application.

## Requirements

- ☑ **CORPORATIONS IN GOOD STANDING.** An EAF applicant must be in *good standing* with the Kentucky Secretary of State. This information will be verified at the following website:

[http://apps.sos.ky.gov/business/obdb/\(ntd5c1454bacblew1gxcls45\)/default.aspx](http://apps.sos.ky.gov/business/obdb/(ntd5c1454bacblew1gxcls45)/default.aspx)

- ☑ **REGISTERED CORPORATIONS.** EAF applicants are required to be registered with the Louisville/Jefferson County Metro Revenue Commission and be in *good standing* with the Commission. Agencies without paid employees are the exception.
- ☑ **SERVING THE LOUISVILLE METRO COMMUNITY.** All EAF grant applications must be for requests for funds to be used to serve the residents of the Louisville/Jefferson County Metro community.

## HOW TO APPLY

**RETURN YOUR COMPLETED APPLICATION BY April 22, 2011.** Completed applications can be mailed to the Grants Manager at the following address. Proposals **MUST** be received no later than Close of Business on April 22, 2011.

Send by Mail or drop off:

Louisville Metro Department of Public Health & Wellness  
400 East Gray Street  
Louisville, KY 40202

Attention: Mayor's Healthy Hometown Movement

**Completed applications must reach the above location by 5:00 PM on Friday, April 22, 2011.**

## **2011 EAF TIMELINE**

### **APPLICATION DEADLINE**

**Friday, April 22, 2011**

### **PANEL REVIEW**

**May 2011**

If the EAF application satisfies all of the requirements for submission, the application will be submitted to the Louisville Metro Department of Public Health & Wellness Review Panel for critical review and recommendation to the Mayor. Note: Review Panels only recommend funding.

### **METRO COUNCIL BUDGET APPROVAL**

**June 30, 2011**

The final approval of EAF grant award recipients occurs at the time that the Louisville Metro Council passes the Louisville Metro Government Budget, expected on or before June 30, 2011.

### **AWARD NOTIFICATION**

**May 2011**

Notification of pending grant award status letter will be mailed.

### **SIGNING OF GRANT AGREEMENT**

**June 2011**

The Metro Funding Agency will contact the EAF grant recipients to negotiate and execute a pending Grant Agreement.

### **DEADLINE TO SPEND ALL EAF GRANT FUNDS**

**June 30, 2012**

## **EAF GRANT CONDITIONS**

Every EAF grant recipient will be required to comply with the following EAF grant conditions. EAF recipients that fail to comply with these conditions may cause their EAF grant awards to be withheld or terminated.

### **Budget Limitation.**

Total grant funds requested from all EAF grant applications combined cannot exceed 33% of the applicant organization's total budget. Applicant organizations' annual budget cannot exceed \$250,000.

### **Unallowable Costs.**

EAF grant funds cannot be used to pay for the following:

- o Lobbying
- o Fund-raising
- o Alcoholic Beverages
- o Entertainment Costs (including but not limited to tickets to shows or sports events, lodging, and gratuities). Under some circumstances, EAF funds may be used to pay for sporting events for youth.
- o Severance Pay
- o Construction Costs
- o Vehicle Purchases
- o Indirect Costs (costs that benefit the operations of the entire organization, but cannot be identified to specific activities)

### **Lobbying is prohibited.**

For the purposes of this Handbook, lobbying means any oral or written communications by an EAF applicant and/or representative(s) employed or retained by them, with members of the Louisville Metro Council and/or staff, Louisville Metro Government Officials and/or staff, in order to attempt to influence the outcome of the EAF process. The EAF process begins when Louisville Metro Government notifies the EAF applicant of the External Agency Funding opportunity and continues through the Louisville Metro Council's approval of the Louisville Metro Government Budget. Prohibited lobbying activities include, but are not limited to:

- o Attempts to influence the outcome of the EAF process, through in kind or cash contributions, endorsements, publicity, or similar activities;
- o Any attempt to influence the outcome of the EAF process through communication with any member or employee of the Louisville Metro Council (including efforts to

- o influence state or local officials to engage in similar lobbying activity), or with any Louisville Metro Government official or employee;
- o Any attempt to influence the EAF process by preparing, distributing or using publicity or propaganda, or by urging members of the general public or any segment thereof to contribute to or participate in any mass demonstration, march, rally, fund raising drive, lobbying campaign or letter writing or telephone campaign;
- o Legislative liaison activities, including attendance at Louisville Metro Government legislative sessions or committee hearings, gathering information regarding the EAF process, when such activities are carried on in support of or in knowing preparation for an effort to engage in unallowable activities; and
- o Attempting to improperly influence, either directly, or indirectly, an employee or officer of the Executive Branch of Louisville Metro Government to give consideration to or act regarding the EAF process.

## **Grant Agreement.**

To receive an EAF grant, a grant recipient will execute a Grant Agreement with Louisville Metro Government by **June 8, 2011** or as determined by the Department of Public Health & Wellness. In this executed agreement, the EAF grant recipient will agree to the following:

### **Recordkeeping**

- o To maintain and retain not less than five years after completion of the selected program, complete and accurate records of all the grant recipient's costs chargeable to Metro Government as well as all other funding sources for the selected program.
- o To grant Metro Government the right, at any reasonable time, to inspect and audit these records by authorized representatives of its own or any public accounting firm selected by it.

The records to be maintained and retained will include:

- All payroll records;
- Invoices for purchases, receiving and issuing documents, and all the inventory records for stores, stock or capital items;
- Paid invoices and cancelled checks for materials purchased and for subcontractors; and any other third party charges; and
- Program participant and statistical records;
- The curriculum and schedule of classes for any educational programs or training provided by the EAF grant recipient.

### **Client Evaluation**

- o To conduct client evaluation if the EAF grant recipient provides direct client services.

### **Financial and Progress Reports**

- o To submit financial and progress reports, showing all funds received and spent by the EAF grant recipient for the selected program, including funding from other sources (these reports will be similar to the information provided by the EAF recipient in the “Budget” section of the Metro Funding Agency Grant Application Forms);
- o To not materially deviate from the selected program without the prior written agreement of Metro Government; and
- o To spend all EAF grant funds by June 30, 2012 (unspent funds must be returned to Metro Government by July 31, 2012). The final program report is due no later than Friday, July 20, 2012.

### **Legal Compliance**

- o To implement and administer the selected program in compliance with all applicable laws, regulations and codes of the federal, state and local governments (Specific laws and regulations are identified in the “Certifications and Assurances” section of the Metro Funding Agency Grant Application Forms); and
- o To not unlawfully discriminate against any person by reason of race, religion, color, sex, national origin, because the person is a qualified individual with a disability, age 40 or over, familial status, sexual orientation, gender identity, is a smoker or non-smoker, or because of the person's Vietnam-era Veteran status (Specific discrimination and affirmative action laws and regulations are identified in the “Certifications and Assurances” section of the Metro Funding Agency Grant Application Forms).

### **Public Acknowledgement**

- o To publicly acknowledge that Louisville Metro Government has provided partial funding for the project. Examples of public acknowledgement include:
  - Holding a press conference to announce the award of an EAF grant from Louisville Metro Government;
  - Sending out a press release that your organization received an EAF grant from Louisville Metro Government;
  - Posting a sign in your organization that announces that your organization is funded by an EAF grant from Louisville Metro Government;



- Including a story in your organization's newsletter announcing the receipt of an EAF grant from Louisville Metro Government;
- Mentioning that your organization is an EAF grant recipient during interviews with the media (newspaper, morning shows, etc...);
- Acknowledging the EAF of Louisville Metro Government in your organization's brochures, flyers, and/or other publications.

### **Indemnification**

- o To indemnify, hold harmless, and defend the Louisville Metro Government from all claims, damages, losses and expenses resulting, directly or indirectly, from the EAF grant recipient's performance or actions.

### **Use of EAF grant funds for Local Travel.**

- o If EAF awarded grant funds are to be used for local travel, local travel is limited to travel within a twenty-five (25)-mile radius of the program site location where the majority of EAF funds are utilized.

## Questions and Answers

**Q: If an Agency currently receives money from Louisville Metro Government and is approved for funding, will the funding be at the same level?**

**A:** Local government funding has always been allocated on a year-by-year basis, with no guarantees of future funding. The Louisville Metro Council makes final funding decisions.

**Q: How many EAF grant application copies must be submitted?**

**A: 6 copies:** One original (with attachments) and five copies (without attachments) of each EAF grant application. DO NOT use staples on the original or any copies.

**Q: When are the EAF grant applications due?**

**A:** The deadline date: **Friday, April 22, 2011.**

**Q: Where is the designated location for receipt of EAF grant applications?**

**A:** On Friday, April 22, 2011 no later than 5:00 p.m.  
Louisville Metro Department of Public Health & Wellness  
400 East Gray Street  
Louisville, KY 40202

**Q: When will an Agency know if it is approved for any funding?**

**A:** The Louisville Metro Council makes final decisions in Louisville Metro Government's budget. The Council is expected to approve the FY 2011-2012 budget on or before June 30, 2011. All Agencies that submit proposals will receive timely notification about their funding status after the budget is finalized.

**Q: What does 33% of Agency total budget mean?**

**A:** Total grant funds requested from all EAF grant applications combined must not exceed 33% of the EAF applicant's total budget. For example, if your total budget is \$9,000, the applicant should not apply for more than \$2,970 in EAF grants.

**Q: What if my application is not approved for the amount requested?**

**A:** Prior to the signing of the Grant Agreement, the EAF grant recipient and the designated representative from the appropriate Metro Government Funding Agency will discuss changes to the budget and/or selected program.

**Q: What if an applicant has questions about the application process?**

**A:** The following Louisville Metro Government staff should be contacted by email:

[Marigny.bostock@louisvilleky.gov](mailto:Marigny.bostock@louisvilleky.gov) or

[Stevon.Edwards@louisvilleky.gov](mailto:Stevon.Edwards@louisvilleky.gov)

Mayor's Healthy Hometown Movement Mini-Grant Application

**Submit this Application (with attachments) and 5 copies (without attachments) to the Health Department**

<b>HEALTH MAYOR'S HEALTHY HOMETOWN MOVEMENT EXTERNAL AGENCY FUND GRANT APPLICATION FORM</b>		
<b>APPLICANT INFORMATION</b>		
Legal Name of Applicant:		
Contact Person Name:	Title:	
Contact Person Phone:	Email Address:	
<b>MAIN OFFICE</b>		
Phone:	Fax:	Website:
<b>GEOGRAPHICAL AREAS WHERE ACTIVITIES ARE PROVIDED</b>		
Facility Location(s):		
Council District(s):	Zip Codes:	
Neighborhood(s):	Neighborhood Place Site(s):	
Metro Government Facilities (i.e., Community Centers or JCPS Community Schools):		
<b>FINANCIAL INFORMATION</b>		
Total Mayor's Healthy Hometown Movement Request (the amount of the requested grant): \$		
Louisville Metro Revenue Commission Account Number:		
Please attach a copy of the Articles of Incorporation to this application.		
Please attach one of the following: <input type="checkbox"/> IRS 501C(3) Determination Letter <input type="checkbox"/> Letter of Advanced Determination <input type="checkbox"/> Letters of Affirmation from IRS. <input type="checkbox"/> Copy of applicant's financial statement (if annual gross receipts are less than \$25,000)		
Fiscal Year Start Date:	Applicant's Current Fiscal Year Total Budget ( <b>attach a copy</b> ): \$	
<b>For the current fiscal year, list Funds received from Louisville Metro Government, <u>including funds received from any department or Metro Council Appropriation (Neighborhood Development Funds)</u></b>		
Source:	Amount: \$	
Source:	Amount: \$	
Source:	Amount: \$	
Does the applicant have a certified audit performed each year? <input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>SIGNATURES</b>		
I certify under the penalty of law that the information in this application is accurate to the best of my knowledge. I am aware that my organization will not be eligible for funding if investigation at any time shows falsification. If falsification is shown after funding has been approved, any allocations already received and expended are subject to be repaid. I further certify that I am authorized to sign this application for the applying organization.		
Signature of Authorized Official:		Date:

**Instructions.**

*(The typical Mayor's Healthy Hometown Movement Mini-grant is \$2,500 to \$3,000.)*

The program narrative consists of seven sections. Respond to the sections in the given order. Number each section and retype the second headings in bold type. If a section does not pertain to your program, type the number, section heading and put "Not Applicable." Responses in this section should be typed on one side only, 8.5" x 11", white paper, single spaced with double spacing between paragraphs, using 12-point type (Times New Roman, Courier, or Book Antiqua). **The narrative should be four pages or less.**

**1. Summary of the Program.** Briefly (in 300 words or less) provide a summary of the program that includes a description of the specific client population that will be served by the program.

**2. Capacity of the applicant and relevant organizational experience (15 points).** List and describe the backgrounds, roles and responsibilities of key management and program staff.

**3. Extent of the problem and its relevancy to the Mayor's Healthy Hometown Movement Goals which are (15 points)**

(1) Increase the number of people in Louisville Metro who engage in 30 minutes of moderate physical activity at least 5 days a week.

(2) Decrease the percentage of overweight or obese people in Louisville Metro.

(3) Increase the number of people in Louisville Metro who eat five or more servings of fruits and vegetables per day.

(4) Improve health equity by supporting physical activity programs in communities most adversely impacted by poor health.

**4. Soundness of approach (50 points)**

- Briefly describe what resources (inputs) will be committed to achieve the program's stated goals and what services or activities will be provided to the program's targeted client population (outputs).
- Briefly describe the program's targeted benefits (measurable outcomes).
- Briefly describe the program's process for collecting data and the indicators that will be tracked to measure the success of your program.
- If the program was a 2010/2011 External Agency Fund Grantee:
  - Provide specific examples of the manner in which the services provided benefited the targeted client population;
  - Discuss any significant changes that will be made in the program ;
  - Attach a Logic Model that indicates the inputs, activities, outputs and measurable outcomes (see Sample Logic Model on page 19)

(CONTINUED)

**5. Leveraging and collaboration of community resources (30 points)**

- Briefly describe any existing collaborative relationships your organization has with other community organizations, specifically Metro Community Centers, Senior Centers, Parks or Libraries. Please indicate if your project depends upon the collaborative relationship(s). A partnership letter of commitment from the appropriate center executive must be attached. Describe how you will collaborate with other community organizations.
- Demonstrate how your agency will use Metro funds to leverage additional funds for this project with supporting documentation. A letter of commitment or other appropriate documentation should be attached.
- Briefly describe the program's utilization of volunteers or in-kind contributions.

**6. Sustainability (10 points)** Describe any efforts to increase and/or diversify program resources and any strategies for capacity building.

**7. Mayor's Healthy Hometown Movement (25 points).** Describe how your program's project(s) or initiative(s) do all of the following:

- Involve neighborhood groups in designing and creating physical activity and/or healthy nutrition programs.
- Provide opportunities for people to engage in active living/healthy eating (project may focus on any age group or a variety thereof, from school-aged through late-adulthood).
- Provide quantitative and/or qualitative data from program participants.
- Reach out to low-income or underserved communities.

## Mayor's Healthy Hometown Movement Mini-Grant Application

### PROGRAM BUDGET SUMMARY

The Program Budget should realistically estimate how much money is needed from Metro Government. This application should be for funds which are absolutely essential for the program. The Program Budget will be reviewed for cost effectiveness and for the direct relationship between planned expenditures and planned program activities.

Please remember that EAF grants are awarded competitively, and as competition for limited funds increases, applications that are over-budgeted are less likely to receive support. The average mini-grant award is \$2,500 - \$3,000.

For each line item, enter whole-dollar amounts. Round off any cents to the nearest whole dollar.

<b>THE PROGRAM BUDGET</b>	<b>EAF REQUESTED AMOUNT</b>	<b>OTHER SOURCES/ CASH MATCH OR IN-KIND</b>	<b>TOTAL</b>
Salaries (including unemployment insurance, workers' comp, others)	\$	\$	\$
Rents/Utilities	\$	\$	\$
Office Supplies (including consumables)	\$	\$	\$
Telephone	\$	\$	\$
Capital Expenses	\$	\$	\$
Travel: In-Town	\$	\$	\$
Client Assistance	\$	\$	\$
Other Expenses (including program supplies) <b>Attach an itemized list – required.</b>			
<b>TOTAL:</b>	\$	\$	\$

**Total grant amount requested from all Louisville Metro Government external agency funds cannot exceed 33% of the Applicant's Total Current Fiscal Year.**

**PROGRAM BUDGET SUMMARY (CONTINUED)**

1. Proposed Louisville Metro Government Funds Requested (Total Column 1) \$\_\_\_\_\_
2. Number of Proposals Submitted for 11/12 Fiscal Year \$\_\_\_\_\_
3. Total Louisville Metro Government Funds Requested in all submitted proposals \$\_\_\_\_\_
4. Applicant Organization's Current Fiscal Year Budget Total \$\_\_\_\_\_  
(Cannot exceed \$250,000)
5. Percentage of **All Requested EAF Funds** to Applicant Organization's Current FY Budget  
(Cannot exceed 33% of Applicant Organization's Current FY Budget) \_\_\_\_\_ %
6. What percent of the Applicant Organization's Annual budget is in-kind donation? \_\_\_\_\_ %
7. What percent of the Applicant Organization's Annual Budget is projected income? \_\_\_\_\_ %



**CERTIFICATIONS AND ASSURANCES**

**By signing the first page of the EAF Grant Application, the authorized official signing for the applicant organization certifies and assures to the best of his or her knowledge or belief the following Assurances and Certifications. If there is any reason why one or more of the assurances or certifications listed cannot be certified or assured, please explain in writing and attach to this application**

**Standard Assurances**

1. Funds will be used for a non-construction program.
2. Applicant will establish safeguards to prohibit employees or any person that receives compensation from awarded funds from using their position for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
3. Applicant will give Louisville Metro Government access to and the right to examine all paper or electronic records related to the awarded grant.
4. Applicant will not lobby Louisville Metro Council members and staff by oral or written communications as specified in the External Agency Fund Lobbying Policy written in the External Agency Technical Assistance Handbook.
5. The Agency is in good standing with Louisville Metro Government

**Standard Certifications**

1. The Agency has a written Affirmation Action/Equal Employment Opportunity Policy.
2. The Agency does not discriminate in employment or in provision of any service/program/activity/event (Activity) based on age, color, disabled status, national origin, race, religion, sex, gender identity or sexual orientation, or Vietnam era veteran status.
3. The Agency certifies that it will not require clients, recipients, or beneficiaries to participate in religious, political, fraternal or like Activities in order to receive services/benefits provided with Louisville Metro Government funds.
4. The Agency certifies that it will not use Louisville Metro Government funds for any religious, political or fraternal Activities.
5. The Agency understands the Americans with Disabilities Act (ADA) and makes reasonable accommodations.
6. The Agency certifies that it provides a drug-free workplace, has established a Drug Free awareness program, has informed employees about the dangers of drug abuse in the workplace and disciplinary and/or legal action for any and/or all offenses.

**Relationship disclosure:** List below any relationship you or any member of your Board of Directors or employees has with any Councilperson, Councilperson's family, Councilperson's staff or any Louisville Metro Government employee. In addition, list below any relationship any member of your Board of Directors has with any employee within your Agency being considered for or receiving funding.

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## Sample Logic Model

Inputs	Activities	Outputs	Measurable Outcomes
Resources dedicated or consumed by the program	What the program does with inputs to fulfill its mission	The direct products of program activities	Benefits for participants during and after program activities
<b><u>Sample Logic Model</u></b>			
\$3,000 grant  Rent-free facilities	Provide physical activity classes  Counsel pregnant women on healthy nutrition	100 participants attended  Counseled 50 women	75 (75%) of participants increased muscle mass  50 (100%) women increased knowledge and reported purchase of fresh fruits and vegetables